

FORM PTO-1390  
(REV 10-97)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
6715/57089TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.51)

09/319093

INTERNATIONAL APPLICATION NO.  
PCT/JP98/04344INTERNATIONAL FILING DATE  
September 28, 1998PRIORITY DATE CLAIMED  
October 2, 1997TITLE OF INVENTION  
RECORD/PLAYBACK APPARATUS AND RECORD/PLAYBACK METHOD

APPLICANT(S) FOR DO/EO/US

Toshiya Kan

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unsigned)
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
  1. Verification of Translation of International No. PCT/JP98/04344
  2. English Translation of International Search Report.
  3. References cited in the International Search Report.
  4. Formal Drawings (4 Sheets)
  5. Form PCT/IB/301,304,308 and PCT/RO/101
  6. Certified English Translation of Priority Document Japanese Application No. 9-270164, filed on October 2, 1997.
  7. Certificate of Express Mail No. EL 066379986US, Dated May 28, 1999.
  8. Itemized Return Receipt postcard.

66 SEP 28 1999

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Search Report has been prepared by the EPO or JPO ..... **\$840.00**International preliminary examination fee paid to USPTO (37 CFR 1.482)  
..... **\$720.00**No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... **\$790.00**Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$1070.00**International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(2)-(4) ..... **\$98.00****ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	44 - 20 =	24	X18.00
Independent claims	6 - 3 =	3	X78.00

\$ 432.00

\$ 78.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+260.00

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1,350.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement  
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$

**SUBTOTAL =**

\$ 1,350.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 1,350.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

**TOTAL FEES ENCLOSED =**

\$ 1,350.00

Amount to be:

refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 1,350.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 03-3125. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Jay H. Maioli  
Cooper & Dunham  
1185 Avenue of the Americas  
New York, NY 10036  
(212) 278-0400

SIGNATURE:

Jay H. Maioli  
NAME

Reg No. 27,213

REGISTRATION NUMBER

512 Rec'd PCPTO 28 MAY 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

09/319093

"Express Mail" Mailing Label No.EL066379986US

Date of Deposit: May 28, 1999

I hereby certify that this New Patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231



TRIN ISCOA

Applicant : TOSHIYA KAN  
S98P1062US00/57089

Title : RECORD/PLAYBACK APPARATUS AND  
RECORD/PLAYBACK METHOD

JAY H. MAIOLI  
REG. NO. 27,213

COOPER & DUNHAM LLP  
1185 Avenue of the Americas  
New York, NY 10036  
(212) 278-0400